

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
36287-00702

In Re Application Of:

David A. Seaman

U.S. PTO
JC959
09/770020
07/25/01

Serial No.
To be assigned

Filing Date
Herewith

Examiner

Group Art

Title:

DISCOUNTED SECURITY

#2/TDS

Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 13-3250 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

_____) on _____
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Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on January 25, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Hildere Jean-Louis

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Signature

Dated: January 25, 2001

Chris L. Holm, Esq.
Registration No. 39,227
Milbank, Tweed, Hadley & McCloy LLP
1 Chase Manhattan Plaza
New York, NY 10005-1314

CC:

(Use several sheets if necessary)

36287-00701

To be Assigned

David A. Seaman

Herewith

Group Art Unit

IF APPROVED

[illegible][illegible]

	1	Prospectus Supplement No. 150, The Goldman Sachs Group, Inc, Medium -Term Notes, Series B,October 25, 2000
	2	Prospectus, Holders Semiconductor, Merrill Lynch & Co., A.G. Edwards & Sons, Inc., May 4, 2000

DATE CONSIDERED

Form PTO-A820
(also form PTO-1449)

P09A/REV04

Patent and Trademark Office * U.S. DEPARTMENT OF COMMERCE

SHEET 1 OF 2

(Use several sheets if necessary)

36287-00702

To be assigned

David A. Seaman

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Group Art Unit

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

3

Prospectus, Pricing Supplement No. 53, Morgan, Stanley Dean Witter & Co., Medium Term Notes, Series C, March 30, 2000

4

Prospectus Supplement, Securities Jefferson-Pilot Corporation, Golden, Sachs & Co., Merrill Lynch & Co., November 27, 1995

DATE CONSIDERED

SHEET 2 OF 2